



Express Mail No. EV138525147US  
Date of Deposit: July 18, 2003

Attorney Docket No. 24309-501

7/29/03  
PA  
8/A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mark Hoffman et al.  
5 Serial No.: 09/696,762  
Filed: October 25, 2000  
For: INVESTMENT ADVICE SYSTEMS AND METHODS  
Examiner: Not Yet Assigned  
Art Unit: 3628

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Mail Stop Non-Fee Amendment  
Commissioner for Patents  
P.O. Box 1450

15 Alexandria, VA 22313-1450

PRELIMINARY AMENDMENT A

Sir/Madam:

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Before examination of the above-identified application, please amend the application as follows.

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GROUP 3600



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TRANSMITTAL LETTER

Sir:

20 Transmitted herewith for filing in the present application are the following documents:

- [X] Preliminary Amendment A; and,
- [X] Return Postcard.

25 If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at 617/542-6000, Boston, Massachusetts.

30 No fee is believed to be due at this time. However, if a fee is required, the Commissioner is hereby authorized to charge any such fee to the account of the undersigned, Deposit Account No. 50-0311, Ref. No. 24309-501. A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

35

*Shane Hunter* Reg. No. 41,858  
C. Eric Schulman, Reg. No. 43,350  
Mintz, Levin, Cohn, Ferris,  
Glovsky and Popeo, P.C.  
One Financial Center  
Boston, MA 02111  
Telephone: (617) 348-3005  
Facsimile: (617) 542-2242  
Attorney for Applicants

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Date: July 18, 2003

Correspondence should be addressed to customer number 30623.